

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: PASTAN et al.Application No./Patent No./Control No.: 10/580,635

Filed/Issue Date: \_\_\_\_\_

Entitled: MUTATED ANTI-CD22 ANTIBODIES AND IMMUNOCONJUGATES

The Government of the United States as represented  
by the Secretary of the Department of Health and  
Human Services

(Name of Assignee)

, a government agency

(Type of Assignee: corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or a true copy of the original assignment is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

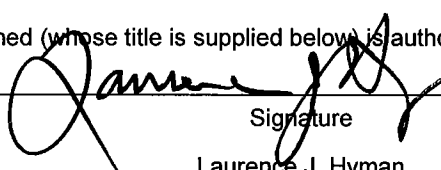
1. From: \_\_\_\_\_ To : \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To : \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To : \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

**As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11**

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

  
\_\_\_\_\_  
Signature  
\_\_\_\_\_  
Laurence J. Hyman  
Printed or Typed Name  
\_\_\_\_\_  
Attorney for Assignee  
\_\_\_\_\_  
Title

April 20, 2007  
\_\_\_\_\_  
Date  
\_\_\_\_\_  
415-576-0200  
Telephone Number

**ASSIGNMENT**

**JOINT**

WHEREAS, We, Ira H. Pastan, Mitchell Ho, and Sook-Hee Bang, employees of the Department of Health and Human Services at the time the invention was made, have invented (title of invention): **MUTATED ANTI-CD22 ANTIBODIES AND IMMUNOCONJUGATES**, for which an application to the Commissioner for Patents for grant of Letters Patents of the United States of America has been executed by the undersigned

☐ on (date(s) Declaration signed):

☒ is identified as U.S. Patent Application:  
Serial No. 10/580,635

Filed           ; and

WHEREAS, the conditions under which said invention was made are such as to entitle the Government of the United States of America under Paragraph 1(a) of Executive Order 10096, to the entire right, title, and interest herein, both domestic and foreign; and

WHEREAS, the Government of the United States of America is desirous of acquiring all domestic and foreign right, title, and interest in the aforesaid invention described in the aforesaid application for Letters Patent of the United States of America; and

NOW, THEREFORE, to all whom it may concern, be it known that for and in consideration of the premises and other valuable considerations, we the undersigned, have sold, assigned, and transferred and by these presents do sell, assign, and transfer unto The Government of the United States of America as represented by the Secretary of the Department of Health and Human Services (hereinafter **THE GOVERNMENT**), and his successors, the full and exclusive right, title, and interest throughout the United States of America, its territories and dependencies, and within each and every foreign country in which **THE GOVERNMENT** elects to file the invention described in the aforesaid application for Letters Patent of the United States of America, and all Letters Patents and Registrations which may be granted on the same in the United States of America and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

AND, we hereby authorize and request the Commissioner for Patents to issue said Letters Patent to **THE GOVERNMENT** as assignee of the entire right, title, and interest in and to the same throughout the United States of America, its territories and dependencies, and within each and every

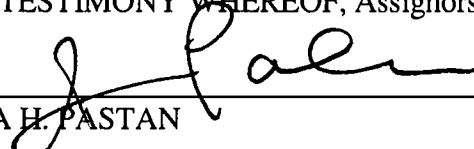
foreign country in which THE GOVERNMENT elects to file, for the sole use for the full term or terms for which said Letters Patent and Registrations may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof which may be granted as fully and entirely as the same would have been held by us, had this assignment not been made;

AND, we hereby warrant that there are no outstanding assignments, grants, liens, encumbrances, or agreements either written, oral, or implied with respect to the aforesaid application for Letters Patent which will impair, diminish, limit, or abridge the interest herein conveyed at the time of the execution of this instrument by us;

AND, we hereby agree to execute any and all applications for Letters Patent in the United States of America and foreign countries, and to furnish and deliver to the Secretary, Department of Health and Human Services, upon request, all data and documents, and to execute any papers which may be necessary for the prosecution of any application or applications of Letters Patent or for THE GOVERNMENT to exercise its rights granted hereunder, including communicating to THE GOVERNMENT, its representatives or agents, any facts relating to said invention, including evidence for interference purposes, or for other proceedings, whenever requested, to testify in any interference or other proceedings, whenever requested, and to execute and deliver on request all lawful papers required to make any of the foregoing provisions effective, and likewise make these provisions binding upon our heirs, legal representatives, administrators and assigns, and we shall assist THE GOVERNMENT in every way as may be requested in protecting said invention, provided that any expense of extending such assistance shall be paid by THE GOVERNMENT.

The undersigned hereby grants THE GOVERNMENT or the law firm of Townsend and Townsend and Crew LLP, the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

  
\_\_\_\_\_  
IRA H. PASTAN

4/5/07  
\_\_\_\_\_  
(dates)

STATE OF \_\_\_\_\_ )  
\_\_\_\_\_) )  
COUNTY OF \_\_\_\_\_ )

UNITED STATES OF AMERICA

On \_\_\_\_\_, before me, \_\_\_\_\_ (here insert name and title of the officer), personally appeared **Ira H. Pastan**, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, execute the instrument.

WITNESS my hand and official seal.

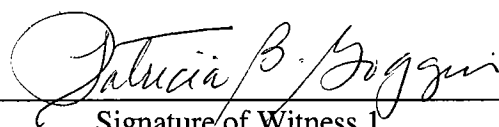
Signature \_\_\_\_\_  
\_\_\_\_\_

(Seal)

SIGNATURE WITNESSED BY:

(1) Date: 4/5/07

(2) Date: 4/5/07

  
\_\_\_\_\_  
Signature of Witness 1

  
\_\_\_\_\_  
Signature of Witness 2

Mitchell Ho  
MITCHELL HO

4/5/2007  
(dates)

STATE OF \_\_\_\_\_ )  
COUNTY OF \_\_\_\_\_ )

UNITED STATES OF AMERICA

On \_\_\_\_\_, before me, \_\_\_\_\_ (here insert name and title of the officer), personally appeared **Mitchell Ho**, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, execute the instrument.

WITNESS my hand and official seal.

Signature \_\_\_\_\_

(Seal)

SIGNATURE WITNESSED BY:

(1) Date: 4/5/07

(2) Date: 4/5/07

Jatucia B. Boggins  
Signature of Witness 1  
Rhett L. Mann Jr.  
Signature of Witness 2

Sookhee Bf  
SOOKHEE BANG

April 8, 2007  
(dates)

STATE OF CALIFORNIA )  
COUNTY OF LOS ANGELES )

UNITED STATES OF AMERICA

On \_\_\_\_\_, before me, \_\_\_\_\_ (here insert name and title of the officer), personally appeared **SookHee Bang**, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, execute the instrument.

WITNESS my hand and official seal.

Signature \_\_\_\_\_

(Seal)

SIGNATURE WITNESSED BY:

(1) Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Witness 1

(2) Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Witness 2